

State of Rhode Island  
Department of Administration

OFFICE OF ACCOUNTS AND CONTROL

<b>SECTION</b>	<b>POLICY/PROCEDURE NUMBER</b> Financial Integrity and Accountability
<b>SUBSECTION</b>	<b>EFFECTIVE DATE / PAGE NUMBER</b> May 31, 2006 1 of 2
<b>POLICY / PROCEDURE</b>	<b>AMENDMENT / REVISION</b>
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GENERAL GUIDELINES

1. OVERVIEW

- Statute: RI General Law Title 35, Chapter 14 and Chapter 20.
- State Policy: Department of Administration's Procedural Handbook, Section A-39
- Oversight Responsibility
  - Director of Administration
  - State Controller
  - Auditor General
- Purpose: To ensure compliance with the Statute noted above, the head of each department, agency, board, commission, and public corporation shall prepare and submit a report on the adequacy of the entity's systems of internal accounting and administrative control by December 31 of each year.

2. ANNUAL REPORT

- The report will take the form of an online, web based, survey. The questions will focus on the risks and internal controls of the entity. Due to the specific nature of the questions, it is recommended that the entity's Chief Financial Officer prepare the survey and then obtain the review and approval of the entity's Director prior to submission.
- The entity's Director will also confirm, via a two-question web based survey, that the report has been reviewed and approved.
- The entity's Chief Financial Officer will receive an email with the link to the online report.
- A copy of the survey is provided for informational purposes only. The annual report will be completed using the online survey and is due no later than December 31 of each year.

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3. DISTRIBUTION

Upon submission of the web-based survey, the Department of Administration's Bureau of Audits will be responsible for the distribution of the report to the following:

- Governor
- Director of Administration
- Auditor General
- Speaker of the House
- Senate Majority Leader
- State Library